

Electronic Filing System (EFS) Data
Electronic Patent Application Submission
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EFS ID: 11899
Application ID: 09682071
Title of Invention: System, Method, and Computer
Software Product for Gain
Adjustment in Biological
Microarray Scanner
First Named Inventor: Shantanu Kaushikkar
Domestic/Foreign Application: Domestic Application
Filing Date: null
Effective Receipt Date: 2001-07-17
Submission Type: Utility Patent Filing
Filing Type: new-utility
Confirmation Number: 0
Attorney Docket Number: 3351.1
Digital Certificate Holder: cn=Alan B. Sherr, ou=Registered Attorneys, ou=Patent and
Trademark Office, ou=Department of Commerce, o=U.S.
Government, c=US
Certificate Message Digest: GuSPNsUnnEOWKrsvGheGrw==
Total Fees Authorized: \$1984.0
Payment Category: DA - Deposit Account
Deposit Account Number: 10431
Deposit Account Name: Alan B. Sherr, Reg. No. 42,147



TRANSMITTAL FORM

Electronic Version 1.0.2

Stylesheet Version: 1.0

Attorney Docket Number: 3351.1



System, Method, and Computer Software Product for Gain Adjustment in Biological Microarray Scanner

First Named Inventor: Mr. Shantanu V. Kaushikkar

SUBMITTED BY

Name: Mr. Alan B. Sherr
Registration Number: 42,147
Electronic Signature Mark: /Alan B. Sherr/
Date Signed: 20010717

I certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.

I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.

Attached Files:

| | |
|------------------|---------------------|
| specification | 3351.1.xml |
| declaration | 3351.1 - Dec.1.tif |
| declaration | 3351.1 - Dec 2.tif |
| declaration | 3351.1 - Dec. 3.tif |
| bibd-transmittal | 3351apds.xml |

fee-transmittal
patent-assignment

3351fee.xml
3351asgn.xml

Attached Image File(s):

3351.1 - Dec.1.tif
3351.1 - Dec 2.tif
3351.1 - Dec. 3.tif

3351.1 - Dec. 3.tif

[illegible]

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PTO/SB/01 (12-97)

Approved for Use through 8/30/01, OMB 0451-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)

☒ Declaration
Submitted
With Initial
Filing

☐ Declaration
Submitted after Initial
Filing (surcharge
(37 CFR 1.16 (e))
required)

Attorney Docket Number 3351.1

First Named Inventor Shantanu V. Kaushikkar

COMPLETE IF KNOWN

Application Number /

Filing Date July 17, 2001

Group Art Unit

Examiner Name

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

System, Method, and Computer Software Product for Gain Adjustment in Biological
Microarray Scanner

The specification of which

(Title of the Invention)

☒ is attached hereto

OR

☐ was filed on (MM/DD/YYYY) as United States Application Number or PCT International

Application Number and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims as amended specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

| Prior Foreign Application Number(s) | Country | Foreign Filing Date (MM/DD/YYYY) Country | Priority Not Claimed | Certified Copy Attached? | |
|-------------------------------------|---------|--|--------------------------|--------------------------|--------------------------|
| | | | <input type="checkbox"/> | YES | NO |
| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

| Application Number(s) | Filing Date (MM/DD/YYYY) | <input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto. |
|--------------------------|--------------------------|--|
| 60/226,888 60/286,578 | 08/22/00 4/28/01 | |

[Page 1 of 2]

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PTO/SB/01 (12-97)

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DECLARATION — Utility or Design Patent Application

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 35 U.S.C. 365 of any PCT International application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

| U.S. Parent Application or PCT Parent Number | Parent Filing Date (MM/DD/YYYY) | Parent Patent Number (if applicable) |
|--|---------------------------------|--------------------------------------|
| | | |

Additional U.S. or PCT International application numbers are listed on a supplemental priority data sheet PTO/SB/02S attached hereto.

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith

☐ Customer Number 22888 → **Place Customer Number Bar Code Label here**

OR

☒ Registered practitioner(s) name(s)/registration number listed below

| Name | Registration Number | Name | Registration Number |
|--------------|---------------------|----------------------|---------------------|
| Vern Norviel | 32,483 | Philip L. McGarrigle | 31,395 |
| Wei Zhou | 44,419 | Alan B. Sherr | 42,147 |

☐ Additional registered practitioner(s) named on supplemental Registered Practitioner Information sheet PTO/SB/02C attached hereto.

Direct all correspondence to: ☒ Customer Number or Bar Code Label 22888 OR ☒ Correspondence address below

| | | | | | |
|---------|---------------------------------------|-----------|--------------|-----|--------------|
| Name | Affymatrix, Inc. | | | | |
| Address | General IP Counsel - Legal Department | | | | |
| Address | 3380 Central Expressway | | | | |
| City | San Jose | State | CA | ZIP | 95051 |
| Country | USA | Telephone | 408/731-5000 | Fax | 408/731-6382 |

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

| | | | | | |
|--|-------------------------|---|----|---------|---------|
| Name of Sole or First Inventor: | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | | | |
| Given Name (first and middle (if any)) | | Family Name or Surname | | | |
| Shantanu V. | | Kaushikar | | | |
| Inventor's Signature | S. V. Kams Wilekar | | | Date | 7/13/01 |
| Residence: City | San Jose | State | CA | Country | USA |
| Post Office Address | 3343 Ariel Joshua Court | | | | |
| Post Office Address | | | | | |
| City | San Jose | State | CA | ZIP | 95135 |
| | | | | Country | USA |

☒ Additional inventors are being named on the 1 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

[Page 2 of 2]

PTO/SB/42A (11)

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DECLARATION**ADDITIONAL INVENTOR(S)**
Supplemental Sheet
Page 1 of 1

| | | | |
|--|---------------|---|-------|
| Name of Additional Joint Inventor, if any: | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | |
| Given Name (first and middle (if any)) | | Family Name or Surname | |
| Nathan K. | | Wainer | |
| Inventor's Signature <i>Nathan K. Wainer</i> | | Date <i>7/13/01</i> | |
| Residence: City | Sloughton | State | MA |
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| City | Sloughton | State | MA |
| | | ZIP | 02072 |
| | | Country | USA |
| Name of Additional Joint Inventor, if any: | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | |
| Given Name (first and middle (if any)) | | Family Name or Surname | |
| Eric E. | | McKenzie | |
| Inventor's Signature <i>Eric E. McKenzie</i> | | Date <i>7/13/01</i> | |
| Residence: City | Malden | State | MA |
| | | Country | USA |
| Citizenship USA | | | |
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| | | Country | USA |
| Name of Additional Joint Inventor, if any: | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | |
| Given Name (first and middle (if any)) | | Family Name or Surname | |
| John C. | | Stephens | |
| Inventor's Signature <i>John C. Stephens</i> | | Date <i>7/13/01</i> | |
| Residence: City | Boulder Creek | State | CA |
| | | Country | USA |
| Citizenship USA | | | |
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| | | Country | USA |

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FEE TRANSMITTAL

Electronic Version 1.0.4

Stylesheet Version: 1.0

Patent fees are subject to annual revisions on or about October 1st of each year.

Large Entity

TOTAL FEES AUTHORIZED: \$ 1984

The commissioner is hereby authorized to charge indicated processing and/or publication fees and credit any overpayments to:

Deposit Account Number:

01-0431



Deposit Account Name:

Affymetrix, Inc.

Charge Any Additional Fee Required Under 37 C.F.R. Sections 1.16 and 1.17.

SUBMITTED BY

Authorized Name:

Alan B. Sherr, Reg. No. 42,147

Electronic Signature Mark:

/Alan B. Sherr/

Date Signed:

20010717

BASIC FILING FEE

| Fee Description | Fee Code | Fee Paid |
|--------------------|----------|----------|
| Utility Filing Fee | 101 | \$ 710 |

Subtotal For Basic Filing Fee: \$ 710

EXTRA CLAIM FEES

| | Fee Code | Fee | Extra Claims | Fee Paid |
|------------------------|----------|-------|--------------|----------|
| Total Claims: 53 | 103 | \$ 18 | 33 | \$ 594 |
| Independent Claims: 11 | 102 | \$ 80 | 8 | \$ 640 |

Subtotal For Extra Claims Fees: \$ 1234

ADDITIONAL FEES

| Fee Description | Fee Code | Fee Paid |
|---|----------|----------|
| Recording Each Patent Assignment Per Property Fee | 581 | \$ 40 |

Subtotal For Additional Fees: \$ 40

FOR THE RECORD